


Form PTO-1449 (REV. 7-92)		U.S. DEPARTMENT OF COMMERCE Patent and Trademark Office		Attorney's Docket Number: PHO 99-003		Serial No.: 09/439,174						
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)												
				Applicant(s): Bennett								
				Filing Date: 11/12/99		Group Art Unit :2744 RECEIVED						
U.S. PATENT DOCUMENTS												
FEB 22 2000												
*EXAMINER INITIAL	DOCUMENT NUMBER						DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
ME	5	9	6	0	3	9	9	9/28/99	Barclay et al.	704	270	12/24/97
↑	5	9	6	0	3	9	4	9/28/99	Gould et al.	704	240	10/22/97
↓	5	9	5	6	6	8	3	9/21/99	Jacobs et al.	704	275	4/4/96
↓	5	9	1	5	2	3	6	6/22/99	Gould et al.	704	251	6/26/97
↓	5	8	6	7	8	1	7	2/2/99	Catallo et al.	704	255	8/19/96
↓	5	8	1	9	2	2	0	10/6/98	Sarukkai et al.	704	243	9/30/96
↓	5	8	0	2	2	5	6	9/1/98	Fawcett et al.	704	275	4/18/96
ME	5	7	5	8	3	2	2	5/26/98	Rongley	704	275	12/9/94
FOREIGN PATENT DOCUMENTS												
DOCUMENT NUMBER		DATE		COUNTRY		CLASS		SUBCLASS		TRANSLATION		
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)												
ME	L. Travis, "Handbook of Speech Pathology", Appleton-Century-Crofts, Inc., 1957, pp. 91-124.											
ME	L.E. Baum, T. Petrie, "Statistical inference for probabilistic functions for finite state Markov chains", Ann. Math. Stat., 37: 1554-1563, 1966											
ME	J.L. Flanagan, "Speech Analysis Synthesis and Perception", 2 nd edition, Springer-Verlag Berlin, 1972, pp. 1-53.											
ME	L.E. Baum, "An inequality and associated maximization technique in statistical estimation for probabilistic functions of Markov processes", Inequalities 3: 1-8, 1972											
EXAMINER <i>Michael Berner</i>								DATE CONSIDERED <i>24 JANUARY 2006</i>				
*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.												

Form PTO-1449 (REV. 7-92)	U.S. DEPARTMENT OF COMMERCE Patent and Trademark Office	Attorney's Docket Number: PHO 99-003	Serial No.: 09/439,174
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)		<div style="border: 1px solid black; border-radius: 50%; width: 100px; height: 100px; margin: 0 auto; display: flex; align-items: center; justify-content: center;"> <div style="transform: rotate(-45deg); font-size: 0.8em;"> MAR 30 2001 PATENT & TRADEMARK OFFICE </div> </div> <div style="text-align: center; margin-top: 10px;"> <div style="border: 1px solid black; padding: 5px; display: inline-block;">RECEIVED</div> APR 02 2001 Technology Center 2600 </div>	
		Applicant(s): Bennett	
		Filing Date: 11/12/99	Group Art Unit :2744

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
MP	6 1 4 4 9 3 8	11/7/00	Surace et al.	704	257	5/1/98
MP	6 1 4 4 8 4 8	11/7/00	Walsh et al.	402	202	6/7/96
MP	6 1 3 8 0 8 9	10/24/00	Guberman	704	207	3/10/99
MP	6 0 2 9 1 2 4	2/22/00	Gillick et al.	704	200	3/31/98

FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER <u>Maria Parnell</u>	DATE CONSIDERED <u>24 JANUARY 2006</u>
*EXAMINER: Initials... considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	



Under the Paperwork Reduction Project 95, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

PTO/SB/08A (10-01)
Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Complete if Known			
		Application Number	09/439,174		
		Filing Date	11/12/99		
		First Named Inventor	Bennett		
		Art Unit	2641		
		Examiner Name	Douglas Olms		
Sheet	1	of	1	Attorney Docket Number	PHO 99003

RECEIVED

FEB 14 2002

Technology Center 2600

U.S. PATENT DOCUMENTS					
Examiner Initials ¹	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
MP		US 2001/0016813 A1	08-23-2001	Brown et al.	
		US 6,233,559 B1	05-15-2001	Balakrishnan	
		US 6,185,535 B1	02-06-2001	Hedin et al.	
		US 6,182,038 B1	01-30-2001	Balakrishnan et al.	
		US 6,112,176	08-29-2000	Goldenthal et al.	
		US 5,934,910	08-10-1999	Ho et al.	
		US 5,884,302	03-16-1999	Ho	
		US 5,867,817	02-02-1999	Catallo et al.	
		US 5,836,771	11-17-1998	Ho et al.	
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			

FOREIGN PATENT DOCUMENTS						
Examiner Initials ¹	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)				
MP		WO 99/50830	10-07-1999	Microsoft Corporation		

Examiner Signature	<i>Michael Lerner</i>	Date Considered	01/24/06
-----------------------	-----------------------	--------------------	----------

¹ EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

² Applicant's unique citation designation number (optional). ³ See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ⁴ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁵ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁶ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁷ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Information Disclosure Statement By Applicant

Substitute for form 1449/PTO

Page 1 of 1

Application Number: 09/439,174

Filing Date: 11/12/1999

First Named Inventor: Bennett

Art Unit: 2654

Examiner Name: Martin Lerner

Attorney Docket Number: PHO 99-003

Examiner Initials	Other Publications
me	COX, Richard V. et al., "Speech and Language Processing for Next-Millennium Communications Services," Proceedings of the IEEE, Vol. 88, No. 8, August 2000, pp. 1314-1337.
me	KUHN, Roland, and Renato De Mori, "The Application of Semantic Classification Trees to Natural Language Understanding," IEEE TRANSACTIONS ON PATTERN ANALYSIS AND MACHINE INTELLIGENCE, VOL. 17, NO. 5, MAY 1995, pp. 449-460.
me	Unisys Corp., "Natural Language Speech Assistant (NLSA) Capabilities Overview," NLR 3.0, August 1998, Malvern, PA, 27 pages.

Examiner
Signature:

Martin Lerner

Date

Considered:

24 JANUARY 2006